

09-18-01

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2164 +

EXPRESS MAIL NO: EL541496441US

PTO/SB/21 (modified)

Group 2100

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

PTO
Rev. 10/95U.S. Department of Commerce
Patent and Trademark Office

Application Number

09/289,550

Filing Date

April 9, 1999

First Named Inventor

Richard W. Friesen et al.

Group Art Unit Number

2164

Examiner Name

Charles Kyle

Total Number of Pages in This Submission

55*

Attorney Docket Number

31192-03854

TRANSMITTAL FORM

(to be used for all correspondence during pendency of
filed application)

ENCLOSURES (check all that apply)

☒ Fee Transmittal Form (in duplicate)☒ Check Enclosed☒ Return Receipt Postcard☐ Response to Notice to File Missing Parts☐ Assignment & Recordation Cover Sheet☐ Declaration☐ Small Entity Statement☒ Information Disclosure Statement & PTO-1449☒ Copies of IDS Cited References☐ Request for Corrected Filing Receipt☐ Application Data Sheet☒ Amendment A: [33] Page(s)☐ After Final☐ Copy of Official Filing Receipt marked in red☐ Revocation and Power of Attorney☐ Issue Fee Transmittal☒ Letter to Chief Draftsperson☒ Formal Drawing(s):

[10] Sheet(s) of Figure(s) [1-10] AND

[3] Sheets of redlined Figs 3B, 3C and 4

Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)☐ Certified Copy of Priority Document(s)☐ After Allowance Communication to Group☒ Copy of International Search Report

REMARKS: *Total number of pages do not include the pages in the IDS references.

SIGNATURE OF ATTORNEY OR AGENT

Signature:

Attorney/Reg. No.:

Thomas L. Ewing, Registration No. 34,328

Dated:

September 12, 2001

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below EXPRESS MAIL NO: EL541496441US

Signature:

Typed or Printed Name:

Thomas L. Ewing

Dated:

September 12, 2001

31192/03854/SF/5056890.1

EXPRESS MAIL NO: EL541496441US

PTO/SB/17 (10-00)(modified)
Approved for use through 09/29/01, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE0002/ETOP(modified)
Rev. 10/2000U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$1070.00)

Complete if Known

Application Number	09/289,550
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen et al.
Group Art Unit	2164
Examiner Name	Charles Kyle
Attorney Docket Number	31992-03854

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.†
- ☐ Applicant claims small entity status
* See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:☒ Check ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2000)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$710	201/\$355	Utility Filing	
106/\$320	206/\$160	Design Filing	
108/\$710	208/\$355	Reissue	
114/\$150	214/\$75	Provisional Filing	
SUBTOTAL (1)			(\$0.00)

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$80	202/\$40	Independent claims in excess of 3
104/\$270	204/\$135	Multiple dependent claim
109/\$80	209/\$40	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month†	
116/\$390	216/\$195	Extension for response within second month†	
117/\$890	217/\$445	Extension for response within third month†	890
118/\$1,390	218/\$695	Extension for response within fourth month†	
128/\$1,890	228/\$945	Extension for response within fifth month†	
119/\$310	219/\$155	Notice of Appeal	
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	
143/\$440	243/\$220	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	180
179/\$710	279/\$355	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):			
Other fee (specify):			
SUBTOTAL (3)			(\$1070.00)

(Col. 1)		(Col. 2)		(Col. 3)		Fee	=	Fee Due
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**			
TOTAL	58	minus*	20 or 58	=	0	x	=	0
INDEP	12	minus*	3 or 12	=	0	x	=	0
[] First presentation of multiple dependent claim								

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$0)

SUBMITTED BY

Typed or Printed Name Thomas L. Ewing

Signature

Complete (if applicable)

Reg. Number 34,328

Date

September 12, 2001

31192/03854/SF/5056889.1

PATENT

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

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SEP 20 2001

Group 2100

APPLICANTS: Richard W. Friesen et al.

APPLICATION NO.: 09/289,550

FILING DATE: April 9, 1999

TITLE: **USER INTERFACE FOR AN ELECTRONIC TRADING
SYSTEM**

EXAMINER: Charles Kyle

GROUP ART UNIT: 2164

ATTY. DKT. NO.: 31192-03854

CERTIFICATE OF EXPRESS MAIL

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Dated: September 12, 2001

By: *Thomas L. Ewing*

Thomas L. Ewing, Reg. No. 34,328

COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

LETTER TO THE CHIEF DRAFTSPERSON

SIR:

In response to the drawing informalities indicated on the Examiner's Notice Regarding Patent Drawings for the above-entitled patent application, please substitute the enclosed ten (10) sheets of formal drawings containing Figures 1-11 for the fourteen (14) sheets of drawings containing Figures 1-11 previously submitted.

Changes being made are indicated in red ink mark-ups of Figures 3B, 3C, and 4, also enclosed.

Respectfully submitted
RICHARD W. FRIESEN, et al.

Dated: September 12, 2001

By: *Thomas L. Ewing*

Thomas L. Ewing, Reg. No. 34,328
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2336
Fax: (415) 281-1350